

Elder Abuse Prevention & Awareness Program Onsite Monitoring & Performance Review Tool



Iowa Department on Aging
510 E 12th Street, Ste. 2
Des Moines, IA 50319
515.725.3333 | 800.532.3213
www.iowaaging.gov

Area Agency on Aging:		IDA Monitor:	
AAA Program Staff: (Name & Title)		Review Period:	
Attachment(s):		Date(s) of Onsite:	

Section I: Requirement Compliance Review

References Federal, State and/or contractual requirements with which the AAA must be in compliance. Deficiencies noted in this section are findings which will require corrective action.

#	Authority	Review Question	Complaint		Comments (Identify document used to verify compliance)
			Yes	No	
1	17—15.3 Project Administration	Agencies or organizations that receive elder abuse prevention initiative funds shall submit a proposal to the department one month prior to the commencement of the fiscal year. Proposals shall contain the following: 1. Project summary, including issues the project will address; 2. Projection of the number of older individuals to be served; 3. Description of services to be provided; 4. Description of community support for the project; 5. Designation of evaluation and audit mechanisms; 6. Project budget; and 7. Evaluation plan.	<input type="checkbox"/>	<input type="checkbox"/>	

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2	15.4 Contractor responsibilities	A contractor or subcontractor shall have a designated coordinator to administer elder abuse prevention initiative funds and services who meets all of the following qualifications:	<input type="checkbox"/>	<input type="checkbox"/>	
3	15.4(1)(a) Education	A bachelor's degree in a human services field and a minimum of four years of experience in a human services and gerontology field. A contractor may submit a request in writing to the department for an exception to this requirement for any coordinator hired after April 1, 2010	<input type="checkbox"/>	<input type="checkbox"/>	
4	15.4(1)(b) DAA MR Training	Completion of dependent adult abuse mandatory reporter training requirements in accordance with Iowa Code section 235B.16 prior to direct client contact	<input type="checkbox"/>	<input type="checkbox"/>	
5	15.4(1)(c) Orientation	Completion of orientation and training provided by the department prior to direct client contact related to utilization of the assessment tool; service coordination and monitoring; performance measures and outcome evaluation; advocacy and public awareness training	<input type="checkbox"/>	<input type="checkbox"/>	
6	15.4(1)(d) Annual Training	Eight hours of annual training related to dependent adult or elder abuse.	<input type="checkbox"/>	<input type="checkbox"/>	
7	15.4(2)(a) Additional EAPA Staff Education	Staff members utilized by a contractor or subcontractor to provide services shall meet all of the following qualifications: A minimum of two years of experience in the human services field	<input type="checkbox"/>	<input type="checkbox"/>	
8	15.5(2)(b) DAA MR Training	Completion of dependent adult abuse mandatory reporter training requirements in accordance with Iowa Code section 235B.16 prior to direct client contact	<input type="checkbox"/>	<input type="checkbox"/>	

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9	15.5(2)(c) Orientation	Completion of orientation and training provided by the department related to utilization of the assessment tool; service coordination and monitoring; performance measures and outcome evaluation; advocacy and public awareness training prior to direct client contact	<input type="checkbox"/>	<input type="checkbox"/>	
10	15.4(3) Required Documents	A contractor shall utilize the assessment forms, purchase of services forms, procedures, and software systems specified by the department.	<input type="checkbox"/>	<input type="checkbox"/>	
11	15.4(4) Records Check	<p>A contractor shall ensure that:</p> <p><i>a.</i> Record checks have been conducted for any coordinator, staff member, volunteer, or other person who performs duties under a contract or subcontract who:</p> <ul style="list-style-type: none"> (1) Has direct responsibility for the client, or (2) Has access to a client when the client is alone. <p><i>b.</i> The record checks shall be conducted to determine whether the person:</p> <ul style="list-style-type: none"> (1) Has any founded child abuse reports; (2) Has any founded dependent adult abuse reports; (3) Has any criminal convictions; or (4) Has been placed on the sex offender registry. 	<input type="checkbox"/>	<input type="checkbox"/>	
12	15.5 Funding restrictions	<p>The use of funding is restricted as follows:</p> <ul style="list-style-type: none"> 1. A contractor shall determine that the client is not eligible to receive services under another funding source prior to authorizing the use of elder abuse prevention initiative funds and shall document this in the assessment. 2. Services funded shall reduce or eliminate abuse, neglect, self-neglect, exploitation, or risk of the same. 3. The funds shall be utilized for one-time expenditures 	<input type="checkbox"/>	<input type="checkbox"/>	

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		but may be used for ongoing or monthly expenditures if no other funding source is available and the client would otherwise remain in an abusive situation.			
13	15.6 Reallocation of Funds	The contractor shall report, in writing, any projected under expenditure of funds prior to the completion of the contract. The department may reallocate such funds to other contractors for the same purpose or to the department's elder abuse prevention efforts.	<input type="checkbox"/>	<input type="checkbox"/>	
14	15.7(1) Eligibility	An older individual shall be eligible for assistance under the elder abuse prevention initiative if all of the following criteria are met: If abuse, neglect, exploitation, or self-neglect exists, or there is risk of same. Abuse, neglect, exploitation, or self-neglect includes the deprivation of the minimum food, shelter, clothing, supervision, physical care, mental health care, or other care necessary to maintain the older individual in an independent living arrangement.	<input type="checkbox"/>	<input type="checkbox"/>	
15	15.7(2) Eligibility	The older individual is not a resident in a nursing facility as defined in Iowa Code section 135C.1(13). Exceptions may be granted by the department on a case-by-case basis	<input type="checkbox"/>	<input type="checkbox"/>	
16	15.8(1) 15.8(2) 15.8(3) Assessment Intake	A contractor shall accept all referrals for at-risk older individuals who may be experiencing abuse, neglect, self-neglect, or exploitation. When a referral is received, the contractor shall record all allegations and concerns on the intake portion of the assessment form to determine the priority level of the case as follows: Priority 1. The at-risk older individual's health or safety is in immediate danger, and the individual requires immediate intervention. The contractor shall contact	<input type="checkbox"/>	<input type="checkbox"/>	

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		<p>appropriate agencies such as the department of human services, emergency medical services, and law enforcement. A face-to-face visit with the at-risk older individual and completion of the assessment form shall occur after the life-threatening situation is resolved and within one business day.</p> <p>Priority 2. The at-risk older individual's health or safety is not in immediate danger, but the risk is real and foreseeable in the future. A face-to-face visit with the at-risk older individual and completion of the assessment shall be made within four working days.</p> <p>Priority 3. The at-risk older individual's health or safety is not in immediate danger, but there is potential risk for abuse, neglect, self-neglect, or exploitation. Contact with the at-risk older individual is required within ten working days.</p>			
17	15.9 Release of information	<p>A release of information form designated by the department shall be signed by the at-risk older individual or the individual's legal representative prior to the provision of services.</p> <p>In Priority 1 cases, if obtaining the at-risk older individual's signature will delay the process of immediate intervention or the protection of the at-risk older individual's safety, telephone approval is acceptable and shall be documented in the assessment. In this circumstance, appropriate signatures shall be obtained as soon as the life-threatening situation is resolved and a face-to-face assessment is conducted. A release shall also be signed by a client or the client's legal representative if photographs, electronic images, or recordings are taken involving the client or the client's home.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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18	15.10(1) Assessment Interviewing the alleged victim	<p>A comprehensive assessment shall be completed on each client within the time frames specified in 17—15.8(231) to protect the client’s safety and provide for services where necessary and desired by the client. The tasks associated with completion of the assessment are</p> <p>This shall include interviewing the at-risk older individual to identify the nature and scope of the abuse or risk; assessing the at-risk older individual’s cognitive, emotional, and physical capabilities, home environment, relationships with others living in the residence, relationships with any service providers, and information on the alleged offender; and gathering any information related to prior incidences of similar abuse or risk. Interviews with the alleged victim shall occur without the alleged offender present</p>	<input type="checkbox"/>	<input type="checkbox"/>	
19	15.10(2) Interviewing other sources	Attempts shall be made to conduct interviews with persons who have relevant information to share about allegations.	<input type="checkbox"/>	<input type="checkbox"/>	
20	15.10(3) Evaluating the information	Evaluation of the information shall include an analysis that confirms whether or not the alleged victim meets the eligibility criteria for services.	<input type="checkbox"/>	<input type="checkbox"/>	
21	15.10(4) Intervention plan	An intervention plan designed to address the victim’s situation shall be developed for all clients who are found to be eligible for services and, at a minimum, shall include a service plan, desired outcomes, funding source, and dates to review progress. If the situation is perpetuated by an older individual’s personal choices, the intervention plan shall note this.	<input type="checkbox"/>	<input type="checkbox"/>	

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22	15.11 Monitoring and Reassessment	A contractor shall monitor the provision of services identified in the intervention plan. A contractor shall conduct and document a face-to-face client reassessment every six months or whenever there is a significant change in the client's physical health, mental health, economic status, or risk status and shall update the intervention plan accordingly.	<input type="checkbox"/>	<input type="checkbox"/>	
23	15.12 Purchase of Service	A contractor may subcontract with a service provider for the provision of services. Any service provided by a contractor or a subcontractor shall be documented on a purchase of service form designated by the department. A subcontractor shall send the purchase of service form to the coordinator for approval prior to the expenditure of funds. Notification of approval or denial shall be sent to the subcontractor via E-mail or fax and shall be retained in the client's case record. A service provider shall bill the contractor within 30 days of rendering a service. A copy of all invoices shall be kept in the client's case record.	<input type="checkbox"/>	<input type="checkbox"/>	
24	15.13 (1) Case records	A case record shall be maintained for each client and shall contain copies of the assessments and any related correspondence or information that pertains to the assessment of the client, intervention plan, medical records, updates, legal representation documents, and documentation of dates, times, travel, activities, and expenditures related to the client. The department shall have complete access to all client case records during regular business hours and upon request.	<input type="checkbox"/>	<input type="checkbox"/>	

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25	15.13(2) Case Records Retention	Case records shall be maintained for a minimum of five years from the date a case is closed in accordance with Iowa Code chapter 305. A case record that is closed shall contain completed assessments; signed release of information forms; purchase of service forms and invoices for services rendered; department of human services' dependent adult abuse report forms; photographs, electronic images, or recordings; and all case documentation, records, and notes.	<input type="checkbox"/>	<input type="checkbox"/>	
26	15.14 Refusal of Assistance	A client has the right to refuse services at any time. However, if dependent adult abuse is suspected, the abuse shall be reported to law enforcement, the department of human services, and the county attorney pursuant to mandatory reporting requirements	<input type="checkbox"/>	<input type="checkbox"/>	
27	15.15 Termination or Limitation	<p>A contractor may terminate or limit the provision of services under circumstances including but not limited to the following:</p> <ol style="list-style-type: none"> 1. Services are no longer needed or do not benefit the client; 2. The client moves out of state or outside the service area; 3. The client moves into a nursing facility as defined in Iowa Code section 135C.1(13); 4. The client or the client's legal representative requests termination of services; 5. The client is unwilling or unable to meet the terms in the intervention plan; 6. The client's legal representative refuses to provide information needed for the development of an intervention plan; or 7. There is risk of harm to the contractor or service provider. 	<input type="checkbox"/>	<input type="checkbox"/>	

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28	15.16 Confidentiality and Disclosure	Client identification numbers shall be used to maintain confidentiality. All case records shall be maintained by the department and the contractor as confidential records pursuant to Iowa Code section 22.7 and shall not be disclosed except with the written consent of the client or the client's legal representative	<input type="checkbox"/>	<input type="checkbox"/>	
29	15.17(1) Legal Rep Documents	A legal representative shall provide appointment papers, a court order, or power of attorney documentation within 72 hours of being contacted by a contractor. The legal representative's signature shall be obtained on the assessment before the client receives services	<input type="checkbox"/>	<input type="checkbox"/>	
30	15.17(2) Legal Rep Blocking Access	If there is suspicion of abuse, neglect, exploitation or self-neglect of an older individual and the legal representative will not permit access to the older individual, the contractor shall make oral and written reports to the department of human services and local law enforcement pursuant to Iowa Code section 235B.3. The contractor shall also notify the judge in probate for the county in which the guardianship or conservatorship was filed by certified letter within five days of the denial of access. The notification shall detail concerns and potential consequences of the guardian's or conservator's action or inaction that appears not to be in the best interest of the older individual.	<input type="checkbox"/>	<input type="checkbox"/>	
31	15.18 Appeals	Complaints by any aggrieved party shall be heard first by the contractor using the contractor's procedures and shall be exhausted before the department is contacted. Appeals made by any aggrieved party to the department shall follow the procedures set forth in 17—2.9(231)	<input type="checkbox"/>	<input type="checkbox"/>	

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32	15.19 Conflict of Interest	<p>Conflict of interest includes any action or failure to act that may be an actual or perceived conflict between official duties and personal interest. Conflict of interest exists when an elder abuse prevention initiative contractor or any entity or individual involved in that program:</p> <ol style="list-style-type: none"> 1. Uses an official position for private gain (other than salary); 2. Gives preferential treatment to any contractor, entity, or individual or fails to act impartially in the conduct of official duties; 3. Impedes or adversely affects governmental efficiency or economy; 4. Engages in conduct that could adversely affect the confidence of the public in the integrity of the elder abuse prevention initiative; 5. Creates circumstances where it might reasonably be perceived that a contractor's, an entity's, or an individual's judgment could be influenced by the nature of the circumstances; or 6. Has a client that is related to the contractor, entity, or individual within the third degree of consanguinity. 	<input type="checkbox"/>	<input type="checkbox"/>	
33	6.10(17) Public Awareness	Increasing public education and awareness in the prevention of abuse, neglect and exploitation of older individuals;	<input type="checkbox"/>	<input type="checkbox"/>	
34	6.10(18) Collaboration	Identifying the public and private nonprofit entities involved in the prevention, identification, and treatment of abuse, neglect, and exploitation of older individuals and determining methods to respond to the needs of older individuals at risk; and	<input type="checkbox"/>	<input type="checkbox"/>	

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Section II: Program/Service/Area/Contract Performance

Addresses achievements, goals, challenges, and needs.

#	Topic	Question(s)	Response(s)
1	Goals	What are the goals?	
2	Achievements	Describe the achievement(s) over the past year.	
3	Challenges	What barriers or challenges have been experienced?	
4	Technical Assistance	Are there areas that would benefit from additional technical assistance?	

Section III: Home Visit

Observations	Comments